



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/711,152	11/09/2000	Patrick Denis Lincoln	1190526-991200

26379  
 GARY CARY WARE & FREIDENRICH  
 PATENT DEPARTMENT (HILLVIEW)  
 3340 HILLVIEW AVE  
 PALO ALTO, CA 94304

## FORMALITIES LETTER



\*OC000000005686019\*

Date Mailed: 01/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$654.
  - \$414 for 23 total claims over 20.
  - \$240 for 3 independent claims over 3 .
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1494.

 8888  
 355.00  
 207.00  
 120.00  
 65.00

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

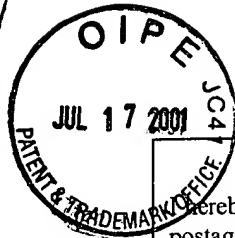
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/20/2001 BNGUYEN1 000000072 0971152

 FC:201  
 FC:203  
 FC:202  
 FC:205  
 623555

1/17/01

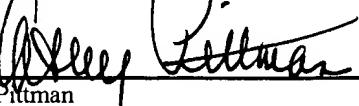


Attorney Docket No.: 1190526-991200

Sector  
ff4

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as FIRST CLASS MAIL in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 17, 2001.

  
Cathy Pittman

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Patrick D. Lincoln et al.

Serial No: 09/711,152 Group Art Unit: 2131

Filed: November 9, 2000 Examiner: not assigned

Title: LATTICE-BASED SECURITY CLASSIFICATION SYSTEM AND METHOD

\* \* \*

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF UTILITY PATENT APPLICATION  
AND PETITION UNDER 37 CFR 1.47(A)**

Box MISSING PARTS  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Four-month Extension This responds to the Notice to File Missing Parts dated January 18, 2001. Pursuant to 37 C.F.R. 1.136(a), the Applicant hereby petitions for a four-month extension of time to respond to the Notice to File Missing Parts.

In response to the "Notice to File Missing Parts of Nonprovisional Patent Application," a copy which is attached, enclosed herewith are the following documents:

1. Power of Attorney
2. Fee transmittal
3. Copy of Notice to File Missing Parts
4. Verified Statement Claiming Small Entity Status
5. Declaration of Patrick D. Lincoln and Steven M. Dawson
6. Declaration of Pierangela Samarati and Sabrina De Capitani di Vimercati

Repln. Ref: 07/20/2001 BNGUYEN1 0018520800  
DA#071896 Name/Number:09711152  
FC: 704 \$40.00 CR

07/20/2001 BNGUYEN1 00000072 09711152

01 FC:218

695.00 0P

Gray Cary\EM\7080765.1  
1190526-991200

The PTO did not receive the following  
listed item(s) All Assignment sheets.

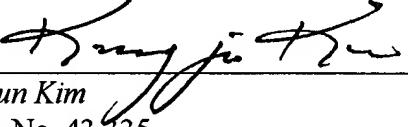
7. Assignment by Patrick D. Lincoln and Steven M. Dawson to SRI International
8. Assignment by Pierangela Samarati and Sabrina De Capitani di Vimercati to SRI International
9. Three (3) checks in the amount of \$695.00, in the amount of \$787.00, and in the amount of \$40.00 for a total of \$1522.00 (\$695 extension fee, \$355 basic filing fee for small entity, \$327 for extra claims, \$65 missing parts surcharge, \$80 assignment recordation fees)
10. Return Postcard

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 07-1896. A duplicate copy of this document is enclosed.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH LLP

Dated: 7-13-01

By   
*K. Jun Kim*  
Reg. No. 43,335  
Attorney for Applicant

GRAY CARY WARE & FREIDENRICH  
1755 Embarcadero Road  
Palo Alto, CA 94303-3340  
Telephone: (650) 833-2433



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/17 (09-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# Fee Transmittal for FY 2001

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$1522.00)

## Complete if Known

Application Number	09/711,152
Filing Date	November 9, 2000
First Named Inventor	Patrick D. Lincoln, et al.
Examiner Name	Unknown
Group Art Unit	Unknown
Attorney Docket No.	1190526-991200

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	07-1896
Deposit Account Name	Gray Cary Ware & Freidenrich LLP

Charge Any additional Fee Required  
Under 37 CFR 1.16 and 1.17  
 Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Description	Fee Paid		
Fee Code	Fee Code	Fee (\$)	Fee (\$)		
101	710	201	355	Utility filing fee	355
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>				<b>(\$)</b> 355	

### 2. EXTRA CLAIM FEES

Total Claims	43	-20** =	23	X	9	=	207
Independent Claims	6	-3** =	3	X	40	=	120

Multiple Dependent	X	=			
Large Entity	Small Entity	Fee Description	Fee Paid		
Fee Code	Fee Code	Fee (\$)	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	270	204	135	Multiple dependent claim, if not paid	
109	80	209	40	** Reissue independent claims over original patent	
110	18	210	9	** Reissue claims in excess of 20 and over original patent	
<b>SUBTOTAL (2)</b>				<b>(\$)</b> 327	

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid		
Fee Code	Fee Code	Fee (\$)	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	65
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for ex parte reexamination.	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	695
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	11	0240	55	Petition to revive – unavoidable	
141	1,240	241	620	Petition to revive – unavoidable	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	80
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 840)

Complete (if applicable)

SUBMITTED BY					
Name (Print/Type)	K. Jun Kim	Registration No. (Attorney/Agent)	43,335	Telephone	650/320-7419 or 650/833-2000
Signature		Date July 13, 2001			

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Please type a plus sign (+) inside this box

+

PTO/SB21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/711,152
		Filing Date	November 9, 2000
		First Named Inventor	Patrick D. Lincoln, et al.
		Group Art Unit	unknown
		Examiner Name	Not Yet Assigned
Total Number of Pages in This Submission		Attorney Docket Number	1190526-991200

<input checked="" type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment with Appendix A attached:	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Associate Power of Attorney,	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Two (2) Declaration and Power of Attorneys; <input type="checkbox"/> Two (2) Recordation Form Cover Sheets
<input type="checkbox"/> Information Disclosure Statement	<input checked="" type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Check #482431 for \$787.00 <input type="checkbox"/> Check #482572 for \$40.00 <input type="checkbox"/> Check #482589 for \$695.00 <input type="checkbox"/> Return Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY OR AGENT

Firm or Individual name	K. Jun Kim (Reg. No. 43,335) Gray Cary Ware Freidenrich LLP
Signature	
Date	July 13, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date

Typed or printed name	Cathy Pittman	Date	July 13, 2001
Signature			